

## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	122	("plug-in" or module or applet) same (trad\$3 near10 (algorithm or strategy))	US-PG PUB; USPAT; EPO; JPO; DERVENT	OR	ON	2007/07/09 08:44
L2	94676	("plug-in" or module or applet) near10 (alternat\$5 or replac\$3 or substitut\$3 or exchang\$3 or interchang\$4)	US-PG PUB; USPAT; EPO; JPO; DERVENT	OR	ON	2007/07/09 08:46
L3	63	1 and 2	US-PG PUB; USPAT; EPO; JPO; DERVENT	OR	ON	2007/07/09 08:53
L4	3	"6615188".pn.	US-PG PUB; USPAT; EPO; JPO; DERVENT	OR	ON	2007/07/09 08:53

## EAST Search History

L5	16	"4674044"   "4677552"   "5101353"   "5270922"   "5497317"   "5873071"   "5890140"   "5893079"   "5915209"   "5918218"   "5926801"   "5946666"   "6014643").PN. OR ("6615188").URPN.	US-PG PUB; USPAT; USOCR	OR	OFF	2007/07/09 08:55
L6	5	otero.in. and (trad\$3)	US-PG PUB; USPAT; USOCR	OR	OFF	2007/07/09 08:56

reviewed 7/9/07

**DIALOG SEARCH 09/845138 Date 07/09/07**

? show files;ds;t s11/3,k/1-13  
File 15:ABI/Inform(R) 1971-2007/Jul 07  
    (c) 2007 ProQuest Info&Learning  
File 9:Business & Industry(R) Jul/1994-2007/Jul 03  
    (c) 2007 The Gale Group  
File 810:Business Wire 1986-1999/Feb 28  
    (c) 1999 Business Wire  
File 275:Gale Group Computer DB(TM) 1983-2007/Jul 04  
    (c) 2007 The Gale Group  
File 476:Financial Times Fulltext 1982-2007/Jul 08  
    (c) 2007 Financial Times Ltd  
File 610:Business Wire 1999-2007/Jul 09  
    (c) 2007 Business Wire.  
File 624:McGraw-Hill Publications 1985-2007/Jul 06  
    (c) 2007 McGraw-Hill Co. Inc  
File 636:Gale Group Newsletter DB(TM) 1987-2007/Jul 04  
    (c) 2007 The Gale Group  
File 621:Gale Group New Prod.Annou.(R) 1985-2007/Jul 04  
    (c) 2007 The Gale Group  
File 613:PR Newswire 1999-2007/Jul 09  
    (c) 2007 PR Newswire Association Inc  
File 813:PR Newswire 1987-1999/Apr 30  
    (c) 1999 PR Newswire Association Inc  
File 16:Gale Group PROMT(R) 1990-2007/Jul 06  
    (c) 2007 The Gale Group  
File 160:Gale Group PROMT(R) 1972-1989  
    (c) 1999 The Gale Group  
File 634:San Jose Mercury Jun 1985-2007/Jul 01  
    (c) 2007 San Jose Mercury News  
File 148:Gale Group Trade & Industry DB 1976-2007/Jul 04  
    (c) 2007 The Gale Group  
File 20:Dialog Global Reporter 1997-2007/Jul 09  
    (c) 2007 Dialog  
File 35:Dissertation Abs Online 1861-2007/Jun  
    (c) 2007 ProQuest Info&Learning  
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
    (c) 2002 The Gale Group  
File 65:Inside Conferences 1993-2007/Jul 06  
    (c) 2007 BLDSCL all rts. reserv.  
File 2:INSPEC 1898-2007/Jun W4  
    (c) 2007 Institution of Electrical Engineers  
File 474:New York Times Abs 1969-2007/Jul 08  
    (c) 2007 The New York Times

File 475:Wall Street Journal Abs 1973-2007/Jul 09  
(c) 2007 The New York Times  
File 99:Wilson Appl. Sci & Tech Abs 1983-2007/Jun  
(c) 2007 The HW Wilson Co.  
File 348:EUROPEAN PATENTS 1978-2007/ 200727  
(c) 2007 European Patent Office  
File 349:PCT FULLTEXT 1979-2007/UB=20070705UT=20070628  
(c) 2007 WIPO/Thomson  
File 347:JAPIO Dec 1976-2007/Dec(Updated 070702)  
(c) 2007 JPO & JAPIO

Set Items Description  
S1 51018 MARKET? ? (S) TRADING (S) STRATEGY  
S2 966485 ("PLUG-IN" OR "PLUG-INS" OR PLUGIN? ?) OR (MODULES OR APP-  
LETS)  
S3 603 S1 AND S2  
S4 30146 (TRADING (5N) (STRATEGIES OR ALGORITHMS))  
S5 388 S2 AND S4  
S6 38467 (INTERCHAG??? ? OR EXCHANG??? ? OR SUBSTITUT??? ? OR  
REPLA-  
C???) (10N) ("PLUG-IN" OR "PLUG-INS" OR PLUGIN? ? OR (MODU-  
LE? ? OR APPLET? ?))  
S7 2 S6 (S) S4  
S8 2 RD S7 (unique items)  
S9 44 S6 AND S4  
S10 38 RD S9 (unique items)  
S11 13 S10 AND PY<2001

11/3,K/1 (Item 1 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2007 ProQuest Info&Learning. All rts. reserv.

*all references reviewed  
9/9/07*

00854664 95-04056  
SocGen speeds futures trading down under  
Brennan, Peter J  
Wall Street & Technology v11n12 PP: 48-54 Apr 1994  
ISSN: 1060-989X JRNL CODE: WSC  
WORD COUNT: 1603

...TEXT: One of the world's top-10 players in derivatives, especially in devising mathematical options strategies, SG has been expanding its trading activities in the Pacific Rim.

But the demand for a state-of-the-art risk...

...OTC instruments include forward rate agreements (FRAs), interest-rate swaps and physical bonds.

A second module for foreign exchange is now being developed for spot and forwards. SG is centralizing its foreign exchange activity...

11/3,K/2 (Item 2 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2007 ProQuest Info&Learning. All rts. reserv.

00723529 93-72750  
Win/Win Trading Systems  
Serotta, Edward  
Wall Street Computer Review v9n4 PP: 64 Jan 1992  
ISSN: 0738-4343 JRNL CODE: WSC  
WORD COUNT: 685

...TEXT: maximum flexibility, could easily allow individual traders, using the same data, to employ completely different trading strategies simultaneously. Traders would simply build their own models on their personal workstations by selecting parameters...

...required, for example, trading new instruments, entering new markets, complying with new regulations, only specific modules need be upgraded or replaced. The bulk of the system remains intact, and maintenance costs are contained.

Using the modular...

11/3,K/3 (Item 1 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
(c) 2007 The Gale Group. All rts. reserv.

01682650 SUPPLIER NUMBER: 15326252 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
SocGen speeds futures trading down under. (Societe Generale Australia Ltd testing voice-based risk management system from Applied Financial Services)  
Brennan, Peter J.  
Wall Street & Technology, v11, n12, p48(4)  
April, 1994  
ISSN: 1060-989X LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT;  
ABSTRACT  
WORD COUNT: 1759 LINE COUNT: 00134

... One of the world's top-10 players in derivatives, especially in devising mathematical options strategies, SG has been expanding its trading activities in the Pacific Rim.

But the demand for a state-of-the-art risk...

...OTC instruments include forward rate agreements (FRAs), interest-rate swaps and physical bonds.

A second module for foreign exchange is now being developed for spot and forwards. SG is centralizing its foreign exchange activity...

19940400

11/3,K/4 (Item 2 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
(c) 2007 The Gale Group. All rts. reserv.

01499599 SUPPLIER NUMBER: 11904615 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Win/win trading systems. (system enhancement may be more beneficial than system replacement)(Viewpoint) (Column)

Serotta, Edward

Wall Street Computer Review, v9, n4, p64(1)

Jan, 1992

DOCUMENT TYPE: Column ISSN: 0738-4343 LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 757 LINE COUNT: 00064

... maximum flexibility, could easily allow individual traders, using the same data, to employ completely different trading strategies simultaneously. Traders would simply build their own models on their personal workstations by selecting parameters...

...required, for example, trading new instruments, entering new markets, complying with new regulations, only specific modules need be upgraded or replaced. The bulk of the system remains intact, and maintenance costs are contained.

Using the modular...

19920100

11/3,K/5 (Item 3 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)

(c) 2007 The Gale Group. All rts. reserv.

01415215 SUPPLIER NUMBER: 09761177 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Evaluation of strategic investments in information technology. (developing a strategic application)

Clemons, Eric K.

Communications of the ACM, v34, n1, p22(15)

Jan, 1991

ISSN: 0001-0782 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT;

ABSTRACT

WORD COUNT: 10873 LINE COUNT: 00898

... now transactions could require as many as four currencies.

Derivative products for hedging and new trading strategies were increasingly important. The firm now traded entirely new financial instruments. Markets were global to...

...were changing in the United States and abroad. Systems were increasingly important: in supporting complex trading strategies in real-time, in helping management assess and control trading risks, in selling effectively to...000 program modules, 2.7 million lines of code, and 270 files; these would be, replaced with approximately 25 program modules, and a shared relational database. Although the cost of the project would be considerable, Bell...

19910100

11/3,K/6 (Item 4 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

(c) 2007 The Gale Group. All rts. reserv.

01320538 SUPPLIER NUMBER: 07931076 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Software. (1990 Buyer's Guide Issue) (buyers guide)

Wall Street Computer Review, v7, n2, p27(95)

Nov, 1989

DOCUMENT TYPE: buyers guide ISSN: 0738-4343 LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 56121 LINE COUNT: 04923

... 01821 The Enhanced Optimizer \$150 IBM PC & MS DOS Machines

Simulation software that analyzes various trading strategies and gives performance results in detailed reports. Works in conjunction with Fund Master TC which...electronic funds transfer,

investment and debt management, commercial paper, fund accounting, interest allocation, foreign exchange, user defined reporting and security modules.

BIS Banking System, A NYNEX Company, 900 3rd Ave., New York, NY 10022 Midas AMPS IBM...in a mouse-driven multi-window environment, allowing for the concurrent use of multiple modules.

Foreign Exchange

Alphametrics Corp., 111 Presidential Blvd., Suite 231, Bala Cynwyd, PA 19004 Alpha-DDS FOREX \$16,000...past 25 years. The Strategy Simulator \$249 IBM-PC and Compatibles

Tests your trading strategies in advance. Start with 25 years of market history, create your own variables and test a strategy... market buying and selling patterns. Use preprogrammed studies or input your own. Troubleshoots trading strategies. PC Magazine Editor's Choice. CompuTrac/M \$695 Apple Macintosh, IBM XT, AT, PS/2

Technical analysis...

19891100

11/3,K/7 (Item 5 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
(c) 2007 The Gale Group. All rts. reserv.

01247208 SUPPLIER NUMBER: 06958747 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Lan Ho! Networking systems come of age. (the financial industry now uses local area networks 'routinely')

Duffy, Maureen Nevin

Wall Street Computer Review, v5, n12, p29(7)

Sept, 1988

ISSN: 0738-4343 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT;  
ABSTRACT

WORD COUNT: 4161 LINE COUNT: 00335

... uses high-powered Sun workstations for trading functions and development, both of software applications and trading formula strategies. "We also have about a dozen DEC 3200's now," says Kunemann, "and there are...J., makes a financial network system that allows users easy access to real-time information exchange and analysis, called Orchestrade. Using six software modules it allows users to extract information they need from different sources.

"It's all in...

19880900

11/3,K/8 (Item 6 from file: 275)  
DIALOG(R)File 275:Gale Group Computer DB(TM)  
(c) 2007 The Gale Group. All rts. reserv.

01245625 SUPPLIER NUMBER: 06728253 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Vendor-sponsored directory. (third-party vendor alliances of interest to the financial community) (directory)

Wall Street Computer Review, v5, n8, p42(14)

May, 1988

DOCUMENT TYPE: directory ISSN: 0738-4343 LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 9096 LINE COUNT: 00846

... Trading Systems offers sophisticated software for evaluating and managing stock, option, commodity and commodity option trading strategies. PC Quote serves as the source for real-time data, ensuring accurate and timely analysis...An integrated system for banks engaging in international banking and capital market activities. Included are modules that deal with foreign exchange, funds transfer, securities and portfolio management, bond dealing and trading, and money markets.

\* Decision Support...

19880500

11/3,K/9 (Item 1 from file: 636)  
DIALOG(R)File 636:Gale Group Newsletter DB(TM)  
(c) 2007 The Gale Group. All rts. reserv.

04427982 Supplier Number: 55729507 (USE FORMAT 7 FOR FULLTEXT)

TRADEHARD.COM: All-star team of financial traders la launch TRADEHARD.COM.

M2 Presswire, pNA

Sept 10, 1999

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 927

... the first and only financial website developed by professional traders for traders that focuses on trading strategies, tactics and indicators for stock, futures and options trading.

TRADEHARD.COM is the only site...

...to continuously monitor real-time market activity of any stock listed on

a North American exchange. Users can manipulate the applet to view a number of charting styles and ticker information. Access to standard quotes, charts...  
19990910

11/3,K/10 (Item 1 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

03301523 Supplier Number: 44558596 (USE FORMAT 7 FOR FULLTEXT)  
SocGen Speeds Futures Trading Down Under  
Wall Street & Technology, p48  
April, 1994  
Language: English Record Type: Fulltext  
Document Type: Magazine/Journal; Trade  
Word Count: 1663

... One of the world's top-10 players in derivatives, especially in devising mathematical options strategies, SG has been expanding its trading activities in the Pacific Rim.

But the demand for a state-of-the-art risk...

...OTC instruments include forward rate agreements (FRAs), interest-rate swaps and physical bonds.

A second module for foreign exchange is now being developed for spot and forwards. SG is centralizing its foreign exchange activity...

19940401

11/3,K/11 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

12139494 SUPPLIER NUMBER: 61207797 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Designing auction institutions for exchange.(Statistical Data Included)  
McCABE, KEVIN; RASSENTI, STEPHEN; SMITH, VERNON  
IIE Transactions, 31, 9, 803  
Sept, 1999  
DOCUMENT TYPE: Statistical Data Included ISSN: 0740-817X  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 6888 LINE COUNT: 00555

... in order to achieve these gains institutions are needed to assure

contract fidelity, and combinatorial trading algorithms must be introduced to take into account increasingly complicated side-constraints.

To take advantage of...in light of the Evolutionary Psychologists hypotheses that the brain is evolutionarily adapted with specific modules to solve specific recurring problems, including the problem of exchange. If in fact the ability to engage in successful personal exchange has developed over evolutionary...

19990901

11/3,K/12 (Item 1 from file: 20)  
DIALOG(R)File 20:Dialog Global Reporter  
(c) 2007 Dialog. All rts. reserv.

07158864 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
TRADEHARD.COM: All-star team of financial traders launch TRADEHARD.COM  
M2 PRESSWIRE  
September 10, 1999  
JOURNAL CODE: WMPR LANGUAGE: English RECORD TYPE: FULLTEXT  
WORD COUNT: 783

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... the first and only financial website developed by professional traders for traders that focuses on trading strategies, tactics and indicators for stock, futures and options trading.

TRADEHARD.COM is the only site...  
... to continuously monitor real-time market activity of any stock listed on a North American exchange. Users can manipulate the applet to view a number of charting styles and ticker information.  
Access to standard quotes, charts...

19990910

11/3,K/13 (Item 2 from file: 20)  
DIALOG(R)File 20:Dialog Global Reporter  
(c) 2007 Dialog. All rts. reserv.

04051824 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
All-Star Team of Financial Traders Launch TRADEHARD.COM  
PR NEWSWIRE  
January 19, 1999  
JOURNAL CODE: WPRW LANGUAGE: English RECORD TYPE: FULLTEXT  
WORD COUNT: 831

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... first and only financial Web site developed by professional traders for traders that focuses on trading strategies, tactics and indicators for stock, futures and options trading.

TRADEHARD.COM is the only site...

...to continuously monitor real-time market activity of any stock listed on a North American exchange. Users can manipulate the applet to view a number of charting styles and ticker information. Access to standard quotes, charts...

19990119